

**FEC  
FORM 3X****REPORT OF RECEIPTS  
AND DISBURSEMENTS**  
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

SMALL BUSINESS INVESTOR ALLIANCE PAC

ADDRESS (number and street)

1100 H Street, NW

Suite 610

☐ Check if different than previously reported. (ACC)

WASHINGTON

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00109991

3. IS THIS  
REPORT☐NEW  
(N)

OR

☒AMENDED  
(A)

## 4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15  
Quarterly Report (Q1)☐ July 15  
Quarterly Report (Q2)☐ October 15  
Quarterly Report (Q3)☒ January 31  
Year-End Report (YE)☐ July 31 Mid-Year  
Report (Non-election  
Year Only) (MY)☐ Termination Report  
(TER)(b) Monthly  
Report  
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)  
(Non-Election  
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☐ Dec 20 (M12)  
(Non-Election  
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y Y

in the  
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y Y

in the  
State of

5. Covering Period

M M M /

D D D /

Y Y Y Y Y Y Y Y

through

M M M /

D D D /

Y Y Y Y Y Y Y Y

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Christopher M Marston

Signature of Treasurer

Mr. Christopher M Marston

[Electronically Filed]

Date

M M M /

D D D /

Y Y Y Y Y Y Y Y

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C. §437g.

Office  
Use  
Only**FEC FORM 3X**  
Rev. 12/2004

# SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

SMALL BUSINESS INVESTOR ALLIANCE PAC

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y  
07 / 01 / 2013 To: M M / D D / Y Y Y Y Y Y  
12 / 31 / 2013

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, <span style="border: 1px solid black; padding: 2px;">Y Y Y Y Y Y</span> <span style="border: 1px solid black; padding: 2px;">2013</span>		78581.89
(b) Cash on Hand at Beginning of Reporting Period.....	63331.89	
(c) Total Receipts (from Line 19) .....	92475.00	99225.00
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	155806.89	177806.89
7. Total Disbursements (from Line 31) .....	30000.00	52000.00
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) .....	125806.89	125806.89
9. Debts and Obligations Owed <b>TO</b> the Committee (Itemize all on Schedule C and/or Schedule D) .....	0.00	
10. Debts and Obligations Owed <b>BY</b> the Committee (Itemize all on Schedule C and/or Schedule D) .....	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

## For further information contact:

Federal Election Commission  
999 E Street, NW  
Washington, DC 20463

Toll Free 800-424-9530  
Local 202-694-1100

# **DETAILED SUMMARY PAGE** of Receipts

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Report Covering the Period:

From:

M	M	/	D	D	/	Y	Y	Y	Y
0	7		0	1		2	0	1	3

To:

M	M	/	D	D	/	Y	Y	Y	Y
1	2		3	1		2	0	1	3

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A).....	91025.00	97775.00
(ii) Unitemized .....	1450.00	1450.00
(iii) TOTAL (add Lines 11(a)(i) and (ii))..... ►	92475.00	99225.00
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5) .....	92475.00	99225.00
12. Transfers From Affiliated/Other Party Committees.....	0.00	0.00
13. All Loans Received .....	0.00	0.00
14. Loan Repayments Received.....	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5).....	0.00	0.00
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	0.00
17. Other Federal Receipts (Dividends, Interest, etc.).....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3) .....	0.00	0.00
(b) Levin Funds (from Schedule H5) .....	0.00	0.00
(c) Total Transfers (add 18(a) and 18(b))..	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c)) .....	92475.00	99225.00
20. Total Federal Receipts (subtract Line 18(c) from Line 19) .....	92475.00	99225.00

**DETAILED SUMMARY PAGE**

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share .....	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures .....	0.00	0.00
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b)) .....	0.00	0.00
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	30000.00	52000.00
24. Independent Expenditures (use Schedule E) .....	0.00	0.00
25. Coordinated Party Expenditures (2 U.S.C. §441a(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees .....	0.00	0.00
(b) Political Party Committees .....	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements .....	0.00	0.00
30. Federal Election Activity (2 U.S.C. §431(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share .....	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds .....	0.00	0.00
(c) Total Federal Election Activity (add .. Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	30000.00	52000.00
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	30000.00	52000.00

**DETAILED SUMMARY PAGE**  
of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3) .....	92475.00	99225.00
34. Total Contribution Refunds (from Line 28(d)) .....	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33) .....	92475.00	99225.00
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ..... ►	0.00	0.00
37. Offsets to Operating Expenditures (from Line 15, page 3).....	0.00	0.00
38. Net Operating Expenditures (subtract Line 37 from Line 36) ..... ►	0.00	0.00

: 97 `A-G79 @G B9CI G`H9LH`F9 @H98 `HC`5 `F9DCFHŽG7 <98I @`CF`+H9A-N5HCB  
.

Form/Schedule: F3XA  
Transaction ID :

This amendment corrects the attribution of several contributions: GMB Mezzanine to Lakeside Capital Managment LLC; Founders Equity SBIC to FEF Management LLC; Newspring Mezzanine Capital LP to NewSpring Mezzanine Capital Managemetn LLC; and Patriot Capital LLP to AP Managmenet Company.

Form/Schedule:  
Transaction ID:

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Joe Alala III**

Mailing Address 4201 Congress Street

City State Zip Code  
Charlotte NC 28209

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Capitala Investment Advisors

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

07 / 22 / 2013

Transaction ID : SA11Al.7650

Amount of Each Receipt this Period

5000.00

Full Name (Last, First, Middle Initial)

**B. AP Management Company**

Mailing Address 509 S Exeter St  
Ste 201

City State Zip Code  
Baltimore MD 21202

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

07 / 22 / 2013

Transaction ID : SA11Al.7734

Amount of Each Receipt this Period

2500.00

See Attribution Below

Full Name (Last, First, Middle Initial)

**C. Mr. Charles McCusker**

Mailing Address 509 S Exeter St  
Ste 210

City State Zip Code  
Baltimore MD 21202

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

AP Management Company

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

07 / 22 / 2013

Transaction ID : SA11Al.7734.0

Amount of Each Receipt this Period

500.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

7500.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 OF 40

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Thomas Holland**

Mailing Address 509 S Exeter St  
Ste 210

City State Zip Code  
Baltimore MD 21201

FEC ID number of contributing  
federal political committee.

C

Name of Employer

AP Management Company

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 22 2013

Transaction ID : SA11AI.7734.1

Amount of Each Receipt this Period

500.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Mr. Chris Royston**

Mailing Address 16 West Madison Street

City State Zip Code  
Baltimore MD 21201

FEC ID number of contributing  
federal political committee.

C

Name of Employer

AP Management Company

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 22 2013

Transaction ID : SA11AI.7734.2

Amount of Each Receipt this Period

500.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**c. Charles Bryon**

Mailing Address 509 S Exeter St  
Ste 210

City State Zip Code  
Baltimore MD 21202

FEC ID number of contributing  
federal political committee.

C

Name of Employer

AP Management Company

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 22 2013

Transaction ID : SA11AI.7734.3

Amount of Each Receipt this Period

500.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

0.00



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 9 OF 40

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Thomas Neale**

Mailing Address 509 S Exeter St  
Ste 210

City State Zip Code  
Baltimore MD 21201

FEC ID number of contributing  
federal political committee.

C

Name of Employer

AP Management Company

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 22 / 2013

Transaction ID : SA11AI.7734.4

Amount of Each Receipt this Period

500.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Mike Appling**

Mailing Address 1300 Post Oak, Suite 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Corporation

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 03 / 2013

Transaction ID : SA11AI.7693

Amount of Each Receipt this Period

5000.00

Full Name (Last, First, Middle Initial)

**C. Jim Barra**

Mailing Address 45 Nod Road

City State Zip Code  
Avon CT 06001

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Ironwood Capital

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

600.00

Date of Receipt

M M / D D / Y Y Y Y Y  
11 / 23 / 2013

Transaction ID : SA11AI.7720

Amount of Each Receipt this Period

600.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

5600.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 10 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Jason Beauvais**

Mailing Address 1300 Post Oak Blvd Ste 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Main Street Capital

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 / 16 / 2013

Transaction ID : SA11AI.7675

Amount of Each Receipt this Period

1000.00

Full Name (Last, First, Middle Initial)

**B. Brookside Mezzanine Partners Management**

Mailing Address 201 Tresser Blvd.

City State Zip Code  
Stamford CT 06901

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 23 / 2013

Transaction ID : SA11AI.7732

Amount of Each Receipt this Period

2000.00

See Attribution Below

Full Name (Last, First, Middle Initial)

**C. Mr. David Buttolph**

Mailing Address 80 Field Point Road

City State Zip Code  
Greenwich CT 06830

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Brookside Capital Partners

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 23 / 2013

Transaction ID : SA11AI.7732.0

Amount of Each Receipt this Period

1000.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

3000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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Detailed Summary Page

FOR LINE NUMBER: PAGE 11 OF 40

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Corey Sclar**

Mailing Address 80 Field Point Road

City State Zip Code  
Greenwich CT 06830

FEC ID number of contributing federal political committee.

C

Name of Employer

Brookside Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 23 2013

Transaction ID : SA11AI.7732.1

Amount of Each Receipt this Period

1000.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Devon Cruikshank Burger**

Mailing Address 201 Tresser Blvd  
FI 3

City State Zip Code  
Stamford CT 06901

FEC ID number of contributing federal political committee.

C

Name of Employer

Brookside Mezzanine Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

225.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 18 2013

Transaction ID : SA11AI.7682

Amount of Each Receipt this Period

225.00

Full Name (Last, First, Middle Initial)

**c. CC Management, LLC**

Mailing Address 505 N. Highway 169, Suite 245

City State Zip Code  
Minneapolis MN 55441

FEC ID number of contributing federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 23 2013

Transaction ID : SA11AI.7730

Amount of Each Receipt this Period

500.00

See Attribution Below

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

725.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 OF 40

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Keith Bares**

Mailing Address 5353 Wayzata Blvd.  
#205

City	State	Zip Code
Minneapolis	MN	55416

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
CC Management, LLC

Occupation  
Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y  
07 / 23 / 2013

Transaction ID : SA11AI.7730.0

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Mr. John Mason**

Mailing Address 5353 Wayzata Blvd.  
#205

City	State	Zip Code
Minneapolis	MN	55416

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
CC Management, LLC

Occupation  
Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y  
07 / 23 / 2013

Transaction ID : SA11AI.7730.1

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**C. Mr. Barry Conrad**

Mailing Address 1700 Pacific Ave.  
Suite 2740

City	State	Zip Code
Dallas	TX	75201

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Independent Capital Management, LLC

Occupation  
Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y  
08 / 30 / 2013

Transaction ID : SA11AI.7665

Amount of Each Receipt this Period

500.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

500.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 13 OF 40

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Gregory T. Dames**

Mailing Address 60 South 6th Street  
#3230

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Marquette Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 09 / 2013

**Transaction ID : SA11AI.7703**

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**B. Rodger Davis**

Mailing Address 824 Yale Ave.

City State Zip Code  
Terrace Park OH 45174

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Northcreek Mezzanine

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
11 / 23 / 2013

**Transaction ID : SA11AI.7726**

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C. E. Matthew Dwyer**

Mailing Address 3249 Roman Mill Court

City State Zip Code  
Oakton VA 22124

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Matthews, Carter, & Boyce

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 17 / 2013

**Transaction ID : SA11AI.7716**

Amount of Each Receipt this Period

500.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

1500.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

## **A. FEF Management LLC**

Mailing Address 711 Fifth Ave

City State Zip Code  
 New York NY 10022

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 10 04 2013

**Transaction ID : SA11AI.7745**

Amount of Each Receipt this Period

1000.00

See Attribution Below

Full Name (Last, First, Middle Initial)

## **B. Mr. John White**

Mailing Address 711 5th Ave.  
 5th Floor

City State Zip Code  
 New York NY 10022

FEC ID number of contributing  
federal political committee.

C

Name of Employer

FEF Management LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

333.34

Date of Receipt

M M / D D / Y Y Y Y Y  
 10 04 2013

**Transaction ID : SA11AI.7745.0**

Amount of Each Receipt this Period

333.34

**[MEMO ITEM]**

Full Name (Last, First, Middle Initial)

## **C. Mr. John Teeger**

Mailing Address 711 5th Ave.  
 5th Floor

City State Zip Code  
 New York NY 10022

FEC ID number of contributing  
federal political committee.

C

Name of Employer

FEF Management LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

333.33

Date of Receipt

M M / D D / Y Y Y Y Y  
 10 04 2013

**Transaction ID : SA11AI.7745.1**

Amount of Each Receipt this Period

333.33

**[MEMO ITEM]**

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

1000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Warren Haber**

Mailing Address 711 5th Ave.

5th Floor

City

New York

State

NY

Zip Code

10022

FEC ID number of contributing  
federal political committee.

C

Name of Employer

FEF Management LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

333.33

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 04 / 2013

Transaction ID : SA11AI.7745.2

Amount of Each Receipt this Period

333.33

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Mr. Vincent Foster**

Mailing Address 1300 Post Oak Blvd.

#800

City

Houston

State

TX

Zip Code

77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 / 16 / 2013

Transaction ID : SA11AI.7671

Amount of Each Receipt this Period

5000.00

Full Name (Last, First, Middle Initial)

**C. Gregory Foy**

Mailing Address 101 Federal Street 19th Floor

City

Boston

State

MA

Zip Code

02110

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Brookside Mezzanine Partners Managemen

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 / 16 / 2013

Transaction ID : SA11AI.7679

Amount of Each Receipt this Period

250.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

5250.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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FOR LINE NUMBER: PAGE 16 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Arthur L. French**

Mailing Address 315 Olympic Dr.

City State Zip Code  
 Rockport TX 78382

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Corporation

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 09 / 16 / 2013

Transaction ID : SA11AI.7674

Amount of Each Receipt this Period

1000.00

Full Name (Last, First, Middle Initial)

**B. Ms. Carolyn Gaiette**

Mailing Address 200 Fisher Drive

City State Zip Code  
 Avon CT 06001

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Ironwood Capital Advisors

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

600.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 11 / 23 / 2013

Transaction ID : SA11AI.7722

Amount of Each Receipt this Period

600.00

Full Name (Last, First, Middle Initial)

**C. Lynne Girts**

Mailing Address 4201 Congress Street

City State Zip Code  
 Charlotte NC 28209

FEC ID number of contributing  
federal political committee.

C

Name of Employer

CapitalSouth Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 07 / 22 / 2013

Transaction ID : SA11AI.7654

Amount of Each Receipt this Period

5000.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

6600.00



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
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FOR LINE NUMBER:  
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PAGE 17 OF 40

☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Kevin Griffin**

Mailing Address 1300 Post Oak, Suite 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Corporation

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 03 / 2013

**Transaction ID : SA11AI.7695**

Amount of Each Receipt this Period

1000.00

Full Name (Last, First, Middle Initial)

**B. Mr. Kirk Griswold**

Mailing Address 950 West Valley Road  
#2902

City State Zip Code  
Wayne PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Argosy Management, LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 16 / 2013

**Transaction ID : SA11AI.7644**

Amount of Each Receipt this Period

5000.00

Full Name (Last, First, Middle Initial)

**C. Mr. Allen Grum**

Mailing Address 2200 Rand Building

City State Zip Code  
Buffalo NY 14203

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Rand Capital

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 15 / 2013

**Transaction ID : SA11AI.7643**

Amount of Each Receipt this Period

250.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

6250.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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FOR LINE NUMBER: PAGE 18 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. James N. Hallene**

Mailing Address 150 N. Wacker Drive

City State Zip Code  
Chicago IL 60606

FEC ID number of contributing  
federal political committee.

C

Name of Employer

CapX Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y  
10 / 17 / 2013

**Transaction ID : SA11AI.7714**

Amount of Each Receipt this Period

250.00

Full Name (Last, First, Middle Initial)

**B. Curtis L. Hartman**

Mailing Address 1300 Post Oak Blvd Ste 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2050.00

Date of Receipt

M M / D D / Y Y Y Y  
10 / 03 / 2013

**Transaction ID : SA11AI.7688**

Amount of Each Receipt this Period

2050.00

Full Name (Last, First, Middle Initial)

**C. Steve Heinen**

Mailing Address 60 South 6th Street, Suite 3510

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Marquette Capital Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y  
10 / 07 / 2013

**Transaction ID : SA11AI.7698**

Amount of Each Receipt this Period

500.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

2800.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Jerry Henderson**

Mailing Address 19016 Long Grove Way

City

Louisville

State

KY

Zip Code

40245

FEC ID number of contributing  
federal political committee.

C

Name of Employer

BKD LLP

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 14 / 2013

**Transaction ID : SA11AI.7712**

Amount of Each Receipt this Period

1000.00

Full Name (Last, First, Middle Initial)

**B. Mr. Thomas Banks Hoyt**

Mailing Address 1700 Pacific Ave.  
Suite 2740

City

Dallas

State

TN

Zip Code

75201

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Independent Bankers Capital Fund, LP

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 30 / 2013

**Transaction ID : SA11AI.7666**

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C. Ms Hollis Huels**

Mailing Address 11 S. Meramec

City

St. Louis

State

MO

Zip Code

63105

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Capital For Business

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 08 / 2013

**Transaction ID : SA11AI.7702**

Amount of Each Receipt this Period

500.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

2000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Dwayne L Hyzak**

Mailing Address 1300 Post Oak Blvd Ste 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 / 16 / 2013

Transaction ID : SA11AI.7672

Amount of Each Receipt this Period

2000.00

Full Name (Last, First, Middle Initial)

**B. Mr. Thomas H. Jenkins**

Mailing Address 60 South 6th St.  
#3230

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Marquette Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 07 / 2013

Transaction ID : SA11AI.7696

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C. Kenneth Jones**

Mailing Address 200 W. Lancaster Ave., Suite 206

City State Zip Code  
Wayne PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Boathouse Capital

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 / 18 / 2013

Transaction ID : SA11AI.7684

Amount of Each Receipt this Period

1000.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

3500.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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Detailed Summary Page

FOR LINE NUMBER:  
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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

## **A. Lakeside Capital Management**

Mailing Address 50 South Sixth Street  
# 1460

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 23 / 2013

**Transaction ID : SA11AI.7736**

Amount of Each Receipt this Period

5000.00

See Attribution Below

Full Name (Last, First, Middle Initial)

## **B. Mr. Michael D. McHugh**

Mailing Address 50 South Sixth Street  
#1460

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Lakeside Capital Management

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 23 / 2013

**Transaction ID : SA11AI.7736.0**

Amount of Each Receipt this Period

2250.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

## **C. Mr. Carlton L. Olmanson**

Mailing Address 50 South Sixth Street  
#1460

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Lakeside Capital Management

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 23 / 2013

**Transaction ID : SA11AI.7736.1**

Amount of Each Receipt this Period

2250.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

5000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
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FOR LINE NUMBER: PAGE 22 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Barry S. Lindquist**

Mailing Address 50 South Sixth St.  
#1460

City State Zip Code  
Minneapolis MN 55402

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Lakeside Capital Management LL

Occupation  
Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 23 / 2013

**Transaction ID : SA11AI.7736.2**

Amount of Each Receipt this Period

500.00

**[MEMO ITEM]**

Full Name (Last, First, Middle Initial)

**B. Monro Lanier**

Mailing Address 307 Franklin St.

City State Zip Code  
Huntsville AL 35801

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
McLarty Capital Partners

Occupation  
Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 13 / 2013

**Transaction ID : SA11AI.7708**

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C. David L Magdol**

Mailing Address 1300 Post Oak Blvd Ste 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Main Street Capital

Occupation  
Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 03 / 2013

**Transaction ID : SA11AI.7685**

Amount of Each Receipt this Period

2000.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

2500.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
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FOR LINE NUMBER: PAGE 23 OF 40  
(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Phillip W. Martin**

Mailing Address 112 Cambridge Plaza Drive  
Suite 201

City State Zip Code  
Winston Salem NC 27104

FEC ID number of contributing  
federal political committee.

C

Name of Employer

SIP III Advisor LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1213.50

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 16 / 2013

**Transaction ID : SA11AI.7645**

Amount of Each Receipt this Period

1000.00

Full Name (Last, First, Middle Initial)

**B. Shannon Martin**

Mailing Address 5400 Gibson

City State Zip Code  
Houston TX 77007

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Corporation

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
09 / 16 / 2013

**Transaction ID : SA11AI.7677**

Amount of Each Receipt this Period

250.00

Full Name (Last, First, Middle Initial)

**C. John McGlinn**

Mailing Address 210 Telluride Trail

City State Zip Code  
Chapel Hill NC 27514

FEC ID number of contributing  
federal political committee.

C

Name of Employer

CapitalSouth Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 22 / 2013

**Transaction ID : SA11AI.7652**

Amount of Each Receipt this Period

5000.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

6250.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. John Albert Miller**

Mailing Address 1111 Brickell Avenue, Suite 1300

City State Zip Code  
Miami FL 33133

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Banyan Mezzanine Funds

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 06 / 2013

**Transaction ID : SA11Al.7660**

Amount of Each Receipt this Period

5000.00

Full Name (Last, First, Middle Initial)

**B. William Miltenberger**

Mailing Address 6670 Yosemite Lane

City State Zip Code  
Dallas TX 75214

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Independent Bankers Capital Fu

Occupation

Investing

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 18 / 2013

**Transaction ID : SA11Al.7648**

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C. Bud Moore**

Mailing Address 5104 Malvern Drive

City State Zip Code  
Plano TX 75093

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Valesco Industries

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 08 / 2013

**Transaction ID : SA11Al.7662**

Amount of Each Receipt this Period

500.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

6000.00



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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(check only one)

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

## **A. NewSpring Mezzanine Capital Management LLC**

Mailing Address 555 E Lancaster Ave  
Suite 520

City State Zip Code  
Radnor PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1250.00

Date of Receipt

08 / 20 / 2013

Transaction ID : SA11AI.7739

Amount of Each Receipt this Period

1250.00

See Attribution Below

Full Name (Last, First, Middle Initial)

## **B. Mr. Mike DiPiano**

Mailing Address 555 E Lancaster Ave  
Suite 520

City State Zip Code  
Radnor PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

NewSpring Mezzanine Capital

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 20 / 2013

Transaction ID : SA11AI.7739.0

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

## **C. Mr. Marc Lederman**

Mailing Address 555 E Lancaster Ave  
Suite 520

City State Zip Code  
Radnor PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

NewSpring Mezzanine Capital

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 20 / 2013

Transaction ID : SA11AI.7739.1

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

1250.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Brian G. Murphy**

Mailing Address 555 E Lancaster Ave  
Suite 520

City State Zip Code  
Radnor PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

NewSpring Mezzanine Capital

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 20 / 2013

Transaction ID : SA11AI.7739.2

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Mr. Steven D. Hobman**

Mailing Address 555 E Lancaster Ave  
Suite 520

City State Zip Code  
Radnor PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

NewSpring Capital

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 20 / 2013

Transaction ID : SA11AI.7739.3

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**C. Mr. Andrew P. Panzo**

Mailing Address 555 E Lancaster Ave  
Suite 520

City State Zip Code  
Radnor PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

NewSpring Mezzanine Capital

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

08 / 20 / 2013

Transaction ID : SA11AI.7739.4

Amount of Each Receipt this Period

250.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

0.00

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

## **A. Petra Capital Partners**

Mailing Address 3825 Bedford Ave., Suite 101

City

Nashville

State

TN

Zip Code

37215

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary  
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7743

Amount of Each Receipt this Period

5000.00

See Attribution Below

Full Name (Last, First, Middle Initial)

## **B. Mr. Michael Blackburn**

Mailing Address 172 Second Ave.  
#112

City

Nashville

State

TN

Zip Code

37201

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Petra Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary  
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

2500.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7743.0

Amount of Each Receipt this Period

2500.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

## **C. Mr. Robert L. Smith**

Mailing Address 4520 Main Street  
Suite 1600

City

Kansas City

State

MO

Zip Code

64111

FEC ID number of contributing  
federal political committee.

C

Name of Employer

C3 Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary  
☐ Other (specify) ▼

☐ General

Aggregate Year-to-Date ▼

1500.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7743.1

Amount of Each Receipt this Period

1500.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

5000.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. John David Fitzgerald III**

Mailing Address 3825 Bedford Ave., Suite 101

City State Zip Code  
Nashville TN 37215

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Petra Capital Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7743.2

Amount of Each Receipt this Period

1000.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Jeffrey Pfeffer**

Mailing Address 155 S. Wacker Dr. #1760

City State Zip Code  
Chicago IL 60606

FEC ID number of contributing  
federal political committee.

C

Name of Employer

CapX Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

10 / 17 / 2013

Transaction ID : SA11AI.7713

Amount of Each Receipt this Period

250.00

Full Name (Last, First, Middle Initial)

**C. Plexus Capital, LLC**

Mailing Address 200 Providence Ave, Suite 210

City State Zip Code  
Charlotte NC 28207

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

10000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7741

Amount of Each Receipt this Period

10000.00

See Attribution Below

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

10250.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Robert Anders**

Mailing Address 200 Providence Road  
#210

City State Zip Code  
Charlotte NC 28207

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Plexus Capital LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7741.0

Amount of Each Receipt this Period

2000.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Mr. Michael Painter**

Mailing Address 4601 Six Forks Road  
Suite 528

City State Zip Code  
Raleigh NC 27609

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Plexus Capital, LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7741.1

Amount of Each Receipt this Period

2000.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**C. Mike Becker**

Mailing Address 200 Providence Rd  
Suite 210

City State Zip Code  
Charlotte NC 28207

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Plexus Capital, LLC

Occupation

Investment

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7741.2

Amount of Each Receipt this Period

2000.00

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

0.00

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Robert Gefaell**

Mailing Address 112 Cambridge Plaza Drive

City State Zip Code  
Winston-Salem NC 27104

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Salem Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7741.3

Amount of Each Receipt this Period

2000.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Kel Landis**

Mailing Address 200 Providence Rd  
Suite 210

City State Zip Code  
Charlotte NC 28207

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Plexus Capital LLC

Occupation

Investment

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

08 / 28 / 2013

Transaction ID : SA11AI.7741.4

Amount of Each Receipt this Period

2000.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**C. Mr. Marc Reich**

Mailing Address 200 Fisher Drive

City State Zip Code  
Avon CT 06001

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Ironwood Capital Advisors

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

600.00

Date of Receipt

11 / 23 / 2013

Transaction ID : SA11AI.7721

Amount of Each Receipt this Period

600.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

600.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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for each category of the  
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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Todd A. Reppert**

Mailing Address 1300 Post Oak Blvd  
Suite 800

City State Zip Code  
Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Partners

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 03 / 2013

Transaction ID : SA11AI.7689

Amount of Each Receipt this Period

2000.00

Full Name (Last, First, Middle Initial)

**B. Mr. Roger Roche**

Mailing Address 200 Fisher Drive

City State Zip Code  
Avon CT 06001

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Ironwood Capital Advisors

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

600.00

Date of Receipt

M M / D D / Y Y Y Y Y  
11 / 23 / 2013

Transaction ID : SA11AI.7724

Amount of Each Receipt this Period

600.00

Full Name (Last, First, Middle Initial)

**C. Christopher Rossi**

Mailing Address 220 Lafayette Lane

City State Zip Code  
Wayne PA 19087

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Pepper Hamilton LLP

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y  
10 / 17 / 2013

Transaction ID : SA11AI.7718

Amount of Each Receipt this Period

250.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

2850.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Jack Sadden**

Mailing Address 3702 Cragmont Ave

City State Zip Code  
 Dallas TX 75205

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Valesco Industries

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 08 / 08 / 2013

Transaction ID : SA11AI.7664

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**B. Robert Shufford**

Mailing Address 1300 Post Oak, Suite 800

City State Zip Code  
 Houston TX 77056

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Main Street Capital Corporation

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 10 / 03 / 2013

Transaction ID : SA11AI.7687

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C. Molly S. Simmons**

Mailing Address 3232 Irving Ave. S.

City State Zip Code  
 Minneapolis MN 55408

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Tonka Bay Equity Partners

Occupation

Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 10 / 11 / 2013

Transaction ID : SA11AI.7706

Amount of Each Receipt this Period

1000.00

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

2000.00



# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

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☒ 11a ☐ 11b ☐ 11c ☐ 12  
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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

## **A. Michael Staebler**

Mailing Address 100 Renaissance Center Suite 3600

City State Zip Code  
 Detroit MI 48243

FEC ID number of contributing federal political committee.

C

Name of Employer

Pepper Hamilton LLP

Occupation

Attorney

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 11 / 23 / 2013

Transaction ID : SA11AI.7728

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

## **B. Mr. Dickson Suit**

Mailing Address 200 Fisher Drive

City State Zip Code  
 Avon CT 06001

FEC ID number of contributing federal political committee.

C

Name of Employer

Ironwood Capital Advisors LLC

Occupation

Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

600.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 11 / 23 / 2013

Transaction ID : SA11AI.7723

Amount of Each Receipt this Period

600.00

Full Name (Last, First, Middle Initial)

## **C. Summer Street Capital Partners, LLC**

Mailing Address 70 W Chippewa St  
Suite 500

City State Zip Code  
 Buffalo NY 14202

FEC ID number of contributing federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
 08 / 20 / 2013

Transaction ID : SA11AI.7737

Amount of Each Receipt this Period

1500.00

See Attribution Below

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2600.00

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER: PAGE 34 OF 40

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Michael McQueeney**

Mailing Address 70 West Chippewa  
#500

City State Zip Code  
Buffalo NY 14202

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Summer Street Capital Partners, LLC

Occupation  
Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

537.00

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 20 / 2013

Transaction ID : SA11AI.7737.0

Amount of Each Receipt this Period

537.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**B. Brian D'Amico**

Mailing Address 70 W Chippewa St  
Ste 500

City State Zip Code  
Buffalo NY 14202

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Summer Street Capital Partners

Occupation  
Investing

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

414.00

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 20 / 2013

Transaction ID : SA11AI.7737.1

Amount of Each Receipt this Period

414.00

[MEMO ITEM]

Full Name (Last, First, Middle Initial)

**C. Andrew Fors**

Mailing Address 70 W Chippewa St

City State Zip Code  
Buffalo NY 14202

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Summer Street Capital Partners

Occupation  
Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

247.50

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 20 / 2013

Transaction ID : SA11AI.7737.2

Amount of Each Receipt this Period

247.50

[MEMO ITEM]

**SUBTOTAL** of Receipts This Page (optional)..... ►

0.00

**TOTAL** This Period (last page this line number only)..... ►

# **SCHEDULE A (FEC Form 3X)** **ITEMIZED RECEIPTS**

Use separate schedule(s)  
for each category of the  
Detailed Summary Page

FOR LINE NUMBER:  
(check only one)

PAGE 35 OF 40

☒ 11a ☐ 11b ☐ 11c ☐ 12  
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. Mr. Gary Hull**

Mailing Address 70 West Chippewa  
#500

City State Zip Code  
Buffalo NY 14202

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Summer Street Capital Partners, LLC

Occupation  
Investment Executive

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

213.00

Date of Receipt

M M / D D / Y Y Y Y Y  
08 / 20 / 2013

**Transaction ID : SA11AI.7737.3**

Amount of Each Receipt this Period

213.00

**[MEMO ITEM]**

Full Name (Last, First, Middle Initial)

**B. Meg Taylor**

Mailing Address 5475 Brookstown Drive

City State Zip Code  
Dallas TX 75230

FEC ID number of contributing  
federal political committee.

C

Name of Employer  
Independent Bankers Capital Funds

Occupation  
Finance

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y  
07 / 29 / 2013

**Transaction ID : SA11AI.7656**

Amount of Each Receipt this Period

500.00

Full Name (Last, First, Middle Initial)

**C.**

Mailing Address

City State Zip Code

FEC ID number of contributing  
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General  
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y

Amount of Each Receipt this Period

**SUBTOTAL** of Receipts This Page (optional)..... ►

**TOTAL** This Period (last page this line number only)..... ►

500.00

91025.00

**SCHEDULE B (FEC Form 3X)**  
**ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 36 OF 40

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. BILL FOSTER FOR CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		20		2013

Mailing Address P.O. BOX 9104

City	State	Zip Code
AURORA	IL	60598

**Transaction ID : SB23.7634**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2013
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: IL District: 11

Full Name (Last, First, Middle Initial)

**B. BLAINE FOR CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		20		2013

Mailing Address PO BOX 1025

City	State	Zip Code
JEFFERSON CITY	MO	65102

**Transaction ID : SB23.7616**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MO District: 03

Full Name (Last, First, Middle Initial)

**C. BOB GOODLATTE FOR CONGRESS COMMITTEE**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
07		24		2013

Mailing Address P.O. BOX 292

City	State	Zip Code
ROANOKE	VA	24002

**Transaction ID : SB23.7622**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1500.00
---------

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: VA District: 06

**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3500.00
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**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 37 OF 40

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. BOB GOODLATTE FOR CONGRESS COMMITTEE**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
07		31		2013

Mailing Address P.O. BOX 292

City	State	Zip Code
ROANOKE	VA	24002

**Transaction ID : SB23.7625**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: VA District: 06

Full Name (Last, First, Middle Initial)

**B. CAPUANO FOR CONGRESS COMMITTEE**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		20		2013

Mailing Address PO BOX 440305

City	State	Zip Code
SOMERVILLE	MA	02144

**Transaction ID : SB23.7631**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: MA District: 07

Full Name (Last, First, Middle Initial)

**C. COMMITTEE TO RE-ELECT NYDIA M. VELAZQUEZ TO CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
10		09		2013

Mailing Address 315 Inspiration Lane

City	State	Zip Code
Gaithersburg	MD	20878

**Transaction ID : SB23.7626**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NY District: 12

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

3000.00
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**SCHEDULE B (FEC Form 3X)**  
**ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 38 OF 40

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. FRIENDS OF DAVID SCHWEIKERT**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
07		18		2013

Mailing Address 228 S WASHINGTON STREET  
STE 115

City	State	Zip Code
ALEXANDRIA	VA	22314

**Transaction ID : SB23.7611**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2014  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: AZ District: 06

Full Name (Last, First, Middle Initial)

**B. GRAVES FOR CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		19		2013

Mailing Address 2345 Grand, Suite 2400

City	State	Zip Code
Kansas City	MO	64108

**Transaction ID : SB23.7630**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought: ☒ House  
☐ Senate  
☐ PresidentDisbursement For: 2014  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: MO District: 06

Full Name (Last, First, Middle Initial)

**C. JIM RISCH FOR U S SENATE COMMITTEE**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
07		18		2013

Mailing Address 407 W JEFFERSON STREET

City	State	Zip Code
BOISE	ID	83702

**Transaction ID : SB23.7621**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

1000.00
---------

Office Sought: ☐ House  
☒ Senate  
☐ PresidentDisbursement For: 2014  
☒ Primary ☐ General  
☐ Other (specify) ▼

State: ID District: 00

**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

3000.00
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**SCHEDULE B (FEC Form 3X)  
ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 39 OF 40

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. JIM RISCH FOR U S SENATE COMMITTEE**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		10		2013

Mailing Address 407 W JEFFERSON STREET

City	State	Zip Code
BOISE	ID	83702

**Transaction ID : SB23.7614**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

5000.00

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: ID District: 00

Full Name (Last, First, Middle Initial)

**B. JIM RISCH FOR U S SENATE COMMITTEE**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		10		2013

Mailing Address 407 W JEFFERSON STREET

City	State	Zip Code
BOISE	ID	83702

**Transaction ID : SB23.7615**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

2000.00

Office Sought:	<input type="checkbox"/> House
	<input checked="" type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: ID District: 00

Full Name (Last, First, Middle Initial)

**C. MALONEY FOR CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
11		19		2013

Mailing Address 49 EAST 92ND ST

City	State	Zip Code
NEW YORK	NY	10128

**Transaction ID : SB23.7627**Purpose of Disbursement  
Contribution

Amount of Each Disbursement this Period

Candidate Name

Category/  
Type

2500.00

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NY District: 12

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

9500.00

**SCHEDULE B (FEC Form 3X)**  
**ITEMIZED DISBURSEMENTS**Use separate schedule(s)  
for each category of the  
Detailed Summary PageFOR LINE NUMBER:  
(check only one)

PAGE 40 OF 40

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

**SMALL BUSINESS INVESTOR ALLIANCE PAC**

Full Name (Last, First, Middle Initial)

**A. PITTENGER FOR CONGRESS LLC**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
12		31		2013

Mailing Address PO BOX 11207

**Transaction ID : SB23.7642**

City	State	Zip Code
CHARLOTTE	NC	28220

Amount of Each Disbursement this Period

Purpose of Disbursement  
ContributionCategory/  
Type

1000.00
---------

Candidate Name

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: NC District: 09

Full Name (Last, First, Middle Initial)

**B. STEVE CHABOT FOR CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
12		31		2013

Mailing Address 3339 Harrison Ave.  
3014 Harrison Ave.**Transaction ID : SB23.7637**

Amount of Each Disbursement this Period

City	State	Zip Code
Cincinnati	OH	45211

Purpose of Disbursement  
ContributionCategory/  
Type

5000.00
---------

Candidate Name

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input checked="" type="checkbox"/> Primary <input type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: OH District: 01

Full Name (Last, First, Middle Initial)

**C. STEVE CHABOT FOR CONGRESS**

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
12		31		2013

Mailing Address 3339 Harrison Ave.  
3014 Harrison Ave.**Transaction ID : SB23.7639**

Amount of Each Disbursement this Period

City	State	Zip Code
Cincinnati	OH	45211

Purpose of Disbursement  
ContributionCategory/  
Type

5000.00
---------

Candidate Name

Office Sought:	<input checked="" type="checkbox"/> House
	<input type="checkbox"/> Senate
	<input type="checkbox"/> President

Disbursement For: 2014
<input type="checkbox"/> Primary <input checked="" type="checkbox"/> General
<input type="checkbox"/> Other (specify) ▼

State: OH District: 01

**SUBTOTAL** of Disbursements This Page (optional).....▶**TOTAL** This Period (last page this line number only).....▶

11000.00
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30000.00
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